

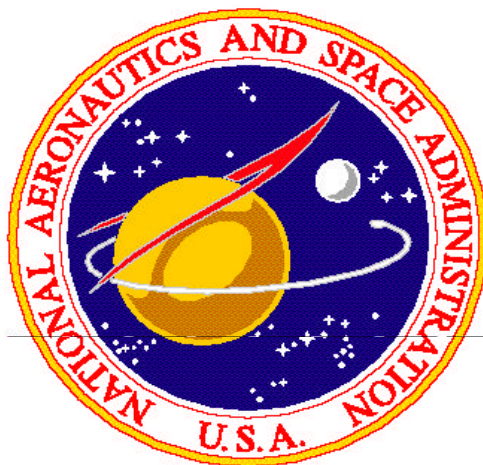
Office Work Instruction

HOWI 8330-U004 REV. A

April 30, 1999

Responsible Office: UL/Life Sciences Division

Subject: Grants, Contracts, & Interagency Agreements/Transfers Renewal



OFFICE WORK INSTRUCTION

GRANTS, CONTRACTS, & INTERAGENCY AGREEMENTS/TRANSFERS RENEWAL

Original Approved and Signed by:

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Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		02/01/99	
Revision	A	4/30/99	Incorporates changes made in response to comments from the Code U review and the DNV pre-registration assessment.

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1. Purpose

This Office of Life and Microgravity Sciences and Applications (OLMSA) office work instruction (OWI) defines the Grants, Contracts & Interagency Agreements/Transfers renewal process utilized at NASA Headquarters (HQ) Code U to ensure the continuing suitability and effectiveness of the renewal process in satisfying the HQ quality policy and objectives. This OWI provides instructions for the planning and implementation of the procurement renewal process within OLMSA.

2. Scope and Applicability

This OWI applies to all procurement renewals processed within OLMSA.

3. Definitions

- 3.1 4th Dimension. An electronic database which uses Runtime software for operating the system.
- 3.2 Contract. The term “contract” refers to any purchase conducted under the Federal Acquisition Regulations (FAR) (See FAR 2.101(h)).
- 3.3 Grant. An award of financial assistance, including cooperative agreements, in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The term does not include technical assistance that provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Also, the term does not include assistance, such as fellowship or other lump sum award, for which the grantee is not required to account.
- 3.4 Goddard Space Flight Center GSFC - one of NASA’s 9 field centers located in Greenbelt, MD.
- 3.5 Interagency Agreement (IAA)/Transfer. The transfer of funds from one Government Agency to another, and in OLMSA’s case, for the purpose of conducting research.
- 3.6 NASA Form NHQ 163. A new electronic Headquarters Procurement Request form that is maintained in the GSFC procurement computer.

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- 3.7 Process. A set of interrelated resources and activities, which transform inputs into outputs. Resources may include personnel, finance, facilities, equipment, techniques and methods.
- 3.8 Procurement Request (PR). Usually a form used by NASA for the purpose of acquiring goods and services as defined in the PR form.
- 3.9 Progress Report. A document submitted to OLMSA that describes the progress that a Principal Investigator (PI) has accomplished during the past reporting period, usually one year, against the Grant, Contract or Interagency Agreement. This document must include a budget estimate for the next renewal period and must be submitted to initiate the renewal process.
- 3.10 NASA Research Announcement (NRA) An instrument like a broad agency announcement used by NASA to solicit a proposal from which a grant or contract can result. NRAs are described in the NASA FAR Supplement (NFS) 48 CFR Part 1835.
- 3.11 Ames Research Center (ARC) – one of NASA's 9 field centers located in Moffett Field, CA.
- 3.12 Johnson Space Center (JSC) – one of NASA's 9 field centers located in Houston, TX.
- 3.13 Headquarters Grants Administration Office (HGAO) – located at GSFC

4. Reference Documents

- 4.1 NPG 5800.1D, Grant and Cooperative Agreement Handbook. Latest version can be found on the Grant Handbook web site. (<http://ec.msfc.nasa.gov/hq/grcover.doc>)
- 4.2 April 1998 MOU (Assignment of Responsibility) between NASA HQ, ARC, JSC, Jet Propulsion Laboratory, and GSFC.
- 4.3 Goddard Procedures and Guidelines: GPG 5100.1. Latest version can be found on the GSFC Document Management System web site. (http://gdms.gsfc.nasa.gov/gdms/plsql/masterlist.lib_list)
- 4.4 Standard Operating Procedure: SOP HGAO 1.0

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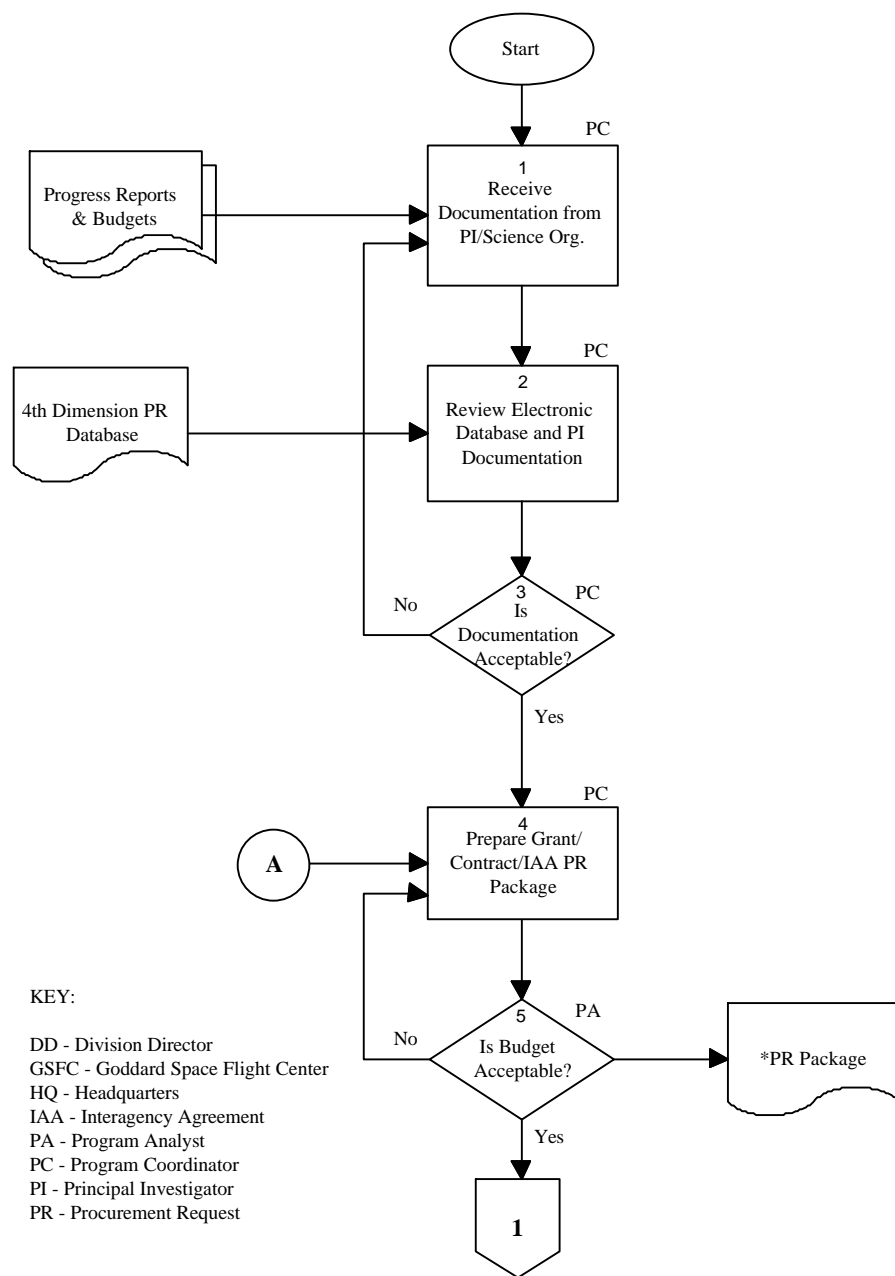
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5. Flowchart



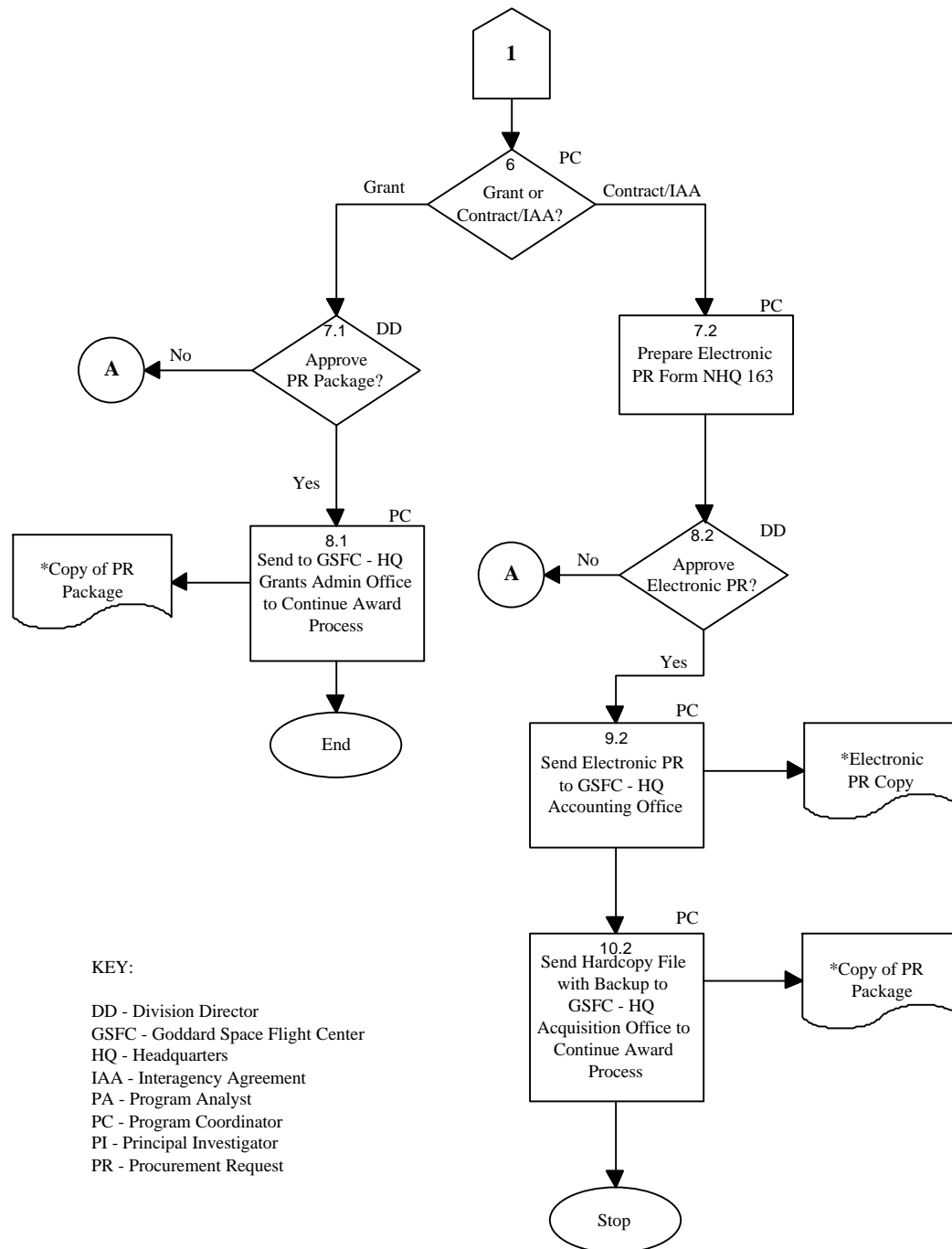
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CHECK THE MASTER LIST at <http://hqiso9000.hq.nasa.gov>
TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

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6. Procedure

The number at the left of the process activity table refers to the flowchart step in Section 5.

#	Responsible Party	Activity Description
1	Program Coordinator	Receive Progress Reports and Budgets from PI/Science Organizations. This provides information about the progress that the PI has accomplished during the past reporting period, along with a budget estimate for the next renewal period. The documentation needed-to be submitted by the PI/Research Institute is specified in the NRA. NPG 5800.1D, paragraph 1260.71 discusses the grant renewal process.
2	Program Coordinator	Review and evaluate the documentation submitted by the Universities, Agencies, and Companies along with information regarding past renewal periods that is contained in the electronic PR data base.
3	Program Coordinator	Does documentation meet established criteria for acceptability? If not, return to Step 1 for rework.
4	Program Coordinator	Prepare Grant, Contract, or Interagency Agreement Procurement Package as appropriate. The Routing Slip Signature Authority, which is prepared at this time for all packages, is in the following order. 1) Program Analyst – for HQ, JSC or ARC as appropriate; 2) Program Scientist; 3) Division Director; and 4) Program Coordinator. The last item on the list is the destination to which the document is being sent.
5	Program Analyst	Determine if the budget is acceptable at HQ, ARC or JSC (depending on program)? If not, return to Step 4 for rework. Note: When either ARC or JSC analyst approve the budget, HQ will receive a “Funding Document” with their concurrence and date of approval. Once approval is received at HQ, the PC will initial off on the Routing Slip for the Center Program Analyst.
6	Program Coordinator	Decide if this is a Grant or Contract/IAA, as there are distinct paths for each. (The path for Grants is designated as X.1 in the following steps; the path for Contracts/IAs is designated as X.2 in the following steps.)
7.1	Division Director	Is the PR Package approved? If not, the PR Package is returned to the Program Coordinator in Step 4 for rework. The items the DD reviews for 1) Grants: routing slip, checklist, spread sheet, funding

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- approval document, recommendation for grant renewal document (must sign) and progress report. 2) IAA/Contracts: routing slip, NHQ 163 - HQ procurement request (must sign electronically), funding approval document, justification for obtaining equipment and services from another agency (must sign), technical evaluation of progress and recommendation for continuation of award (must sign), inter-agency agreement between NASA and another Government agency as appropriate, and progress report as appropriate. (The process for developing IAA's is described in HOWI 1050-U007.)
- 8.1 Program Coordinator Send PR Package (Grants) to GSFC Code 201.1 (Headquarters Grants Administration Office) to continue the award process. Documents GSFC requires are contained in the GSFC "Checklist", NPG 5800.1D, paragraph 1260.71, the April 1998 MOU "Assignment of Responsibility", and the SOP HGAO 1.0.
- 7.2 Program Coordinator Prepare the electronic PR Form NHQ 163.
- 8.2 Division Director Is the electronic PR approved? If not, the PR is returned to the Program Coordinator in Step 4 for rework.
- 9.2 Program Coordinator Send the electronic PR to GSFC Code 155.1 (HQ Accounting Office).
- 10.2 Program Coordinator Send a hardcopy of the PR File to GSFC Code 210.H (HQ Acquisition Office) to continue the award process. As a minimum the documents required includes: Routing Slip, NHQ Form 163, Justification for Obtaining Equipment and Services From Another Agency, Technical Evaluation of Progress and Recommendation for Continuation of Award, and Funding Approval. Reference GPG 5100.1.

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7. Quality Records

<i>Record Identification</i>	<i>Owner</i>	<i>Location</i>	<i>Media Electronic/ Hard Copy</i>	<i>Retention/ Disposition</i> (See paragraph 1260.153 of NPG 5800.1D.)
Copy of Procurement Request Package	Program Coordinator	OLMSA File Cabinet	Hard Copy	Financial/Grant Records shall be retained for a period of 3 years from the date of submission of the final expenditure report. Retire to FRC 3 years after final expenditure received. Destroy 6 years after final expenditure received.
Electronic Copy of PR Submitted To GSFC	Program Coordinator	Life Sciences Database	Electronic	Financial/Grant Records shall be retained for a period of 3 years from the date of submission of the final expenditure report. Retire to FRC 3 years after final expenditure received. Destroy 6 years after final expenditure received...

Note:

All Grants, Contracts and Interagency Agreements and their associated Quality Records are tracked by their individual Procurement Request (PR) numbers. This includes the 4th Dimension DataBase and the Hard Copy files.